



12-30-04

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Express Mail No. EU 618 749 918 US  
ATTORNEY DOCKET NO.: 9974-34-1122

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Pujol et al.

Art Unit: 2131

Application No.: 10/799,227

Examiner: Unassigned

Filed: March 12, 2004

Confirmation No. 7547

For: METHODS, SYSTEMS AND SOFTWARE FOR  
PROVIDING SERVICE INTEGRATION FRAMEWORK

MAIL STOP OFFICE OF INITIAL PATENT EXAMINATION  
FILING RECEIPT CORRECTIONS

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Sir:

This Request is to correct a Corrected Filing Receipt mailed on December 13, 2004. The assignee listed under "Assignment for Published Patent Application" is incorrect. The correct assignee is MERRILL LYNCH & CO., INC

Please provide a second Corrected Filing Receipt to reflect the correct assignee.

A marked-up copy of the incorrect Corrected Filing Receipt is enclosed. Also enclosed is a copy of the assignment and recordation cover sheet filed in this case, clearly showing that the assignee is Merrill Lynch & Co., Inc., not "Whereas Merrill Lynch & Co., Inc."

No fee is believed due with this Request. However, if any fee is due, please charge such fee to Deposit Account No. 50-0310.

Respectfully submitted,

Date: December 29, 2004

By:

Steven D. Underwood

Reg. No. 47,205

Correspondence Address:

**Customer Number 009629**

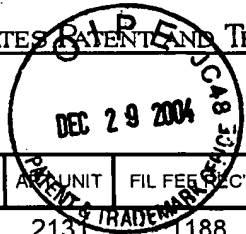
MORGAN, LEWIS & BOCKIUS LLP

1111 Pennsylvania Avenue, N.W.

Washington, D.C. 20004



UNITED STATES PATENT AND TRADEMARK OFFICE



UNITED STATES DEPARTMENT OF COMMERCE  
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APPL NO.	FILING OR 371 (c) DATE	APPL UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/799,227	03/12/2004	2131	1188	9974-34-1122	57	36	2

CONFIRMATION NO. 7547

CORRECTED FILING RECEIPT



\*OC000000014742805\*

Date Mailed: 12/13/2004

09629  
MORGAN LEWIS & BOCKIUS LLP  
1111 PENNSYLVANIA AVENUE NW  
WASHINGTON, DC 20004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Guy Pujol, Edison, NJ;  
Albert Bauer, Lambertville, NJ;  
Rondney Bass, Princeton, NJ;  
Carl Dashfield, Flemington, NJ;  
Shashidhar Gurrula, Lawrenceville, NJ;  
Gafar Lawal, Plainfield, NJ;  
Wissam D. Mazboudi, Robbinsville, NJ;  
Suresh Nair, Robbinsville, NJ;

Assignment For Published Patent Application

~~WHEREAS~~ MERRILL LYNCH & CO., INC.

Power of Attorney: The patent practitioners associated with Customer Number 009629.

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 05/27/2004

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US10/799,227

Projected Publication Date: 09/15/2005

RECEIVED  
DEC 15 2004  
MORGAN, LEWIS & BOCKIUS LLP

00974-1122  
DOCKETED  
By PSC Date 12/15/04

**Nori-Publication Request:** No

**Early Publication Request:** No

**Title**

Methods, systems, and software for providing service integration framework

**Preliminary Class**

713

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Exp

Mail No. EU 618 742 733 US

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Attorney Docket Number 9974-34-1122

Mail Stop Assignment Recordation Services  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Please record the attached documents.

## 1. Name of conveying party(ies):

Guy Pujol  
Albert Bauer  
Rodney Bass  
Carl Dashfield  
Shashidhar Gurralla  
Gafar Lawal  
Wissam D. Mazboudi  
Suresh NairAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment

Merger

Security Agreement

Change of Name

Other

Execution Dates: Oct. 12, 14, 19, 20 and 25, 2004

## 2. Name and address of receiving party(ies):

Name: **Merrill Lynch & Company, Inc.**

Address:

**222 Broadway, 17th Flr.  
New York, NY 10038**

Country (if other than USA):

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 10/799,227

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Customer No. 09629  
Morgan, Lewis & Bockius LLP  
101 Park Avenue  
New York, NY 10178

## 6. Number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Please charge to the deposit account listed in Section 8.

8. Deposit account number: 50-0310

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Steven D. Underwood

47,205

November 5, 2004

Name of Person Signing

Reg. No.

Signature

Date

Total number of pages including cover sheet, attachments, documents, and duplicate cover sheet for Deposit Account:

5

# ASSIGNMENT

WHEREAS WE, Guy Pujol, residing at 17 Jonathan Drive, Edison, NJ 08820; Albert Bauer, residing at 46 Delaware Ave., Lambertville, NJ 08530; Rodney Bass, residing at 5 Alta Visa Drive, Princeton, NJ 08540; Carl Dashfield, residing at 5 Pony Lane, Flemington, NJ 08822; Shashidhar Gurralla, residing at 6511 Town Court N., Lawrenceville, NJ 08648; Gafar Lawal, residing at 935 Prospect Ave., Plainfield, NJ 07060; Wissam D. Mazboudi, residing at 37 Buford Road, Robbinsville, NJ 08691; and Suresh Nair, residing at 14 Hamton Court East, Robbinsville, NJ 08691, (also referred to herein as Assignors), have made an invention entitled:

## METHODS, SYSTEMS, AND SOFTWARE FOR PROVIDING SERVICE INTEGRATION FRAMEWORK

for which WE executed an application for United States Letters Patent

- ☒ identified by Attorney Docket No. 9974-34-1122, and
- ☒ filed on March 12, 2004 as Application No. 10/799,227

WHEREAS MERRILL LYNCH & CO., INC. (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application of United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

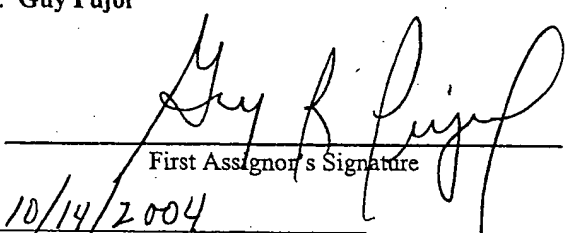
NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from Assignee is hereby acknowledged, WE, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, OUR entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of such applications, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and WE hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent of this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY covenant that WE have the full right to convey the interest assigned by this Assignment, and WE have not executed and will not execute any agreement in conflict with this Assignment;

AND, WE HEREBY further covenant and agree that WE will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to US respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuing, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

AND, WE HEREBY further covenant and agree that we will assign to Assignee, its lawful successors and assigns, OUR entire right, title, and interest in and to any and all patent applications, both United States and foreign, and all Letters Patent that may be granted thereon, that claim priority to this invention or to this application in any manner, such applications specifically including, but not limited to, divisionals, continuations, continuations-in-part, and all other provisional and non-provisional applications.

IN TESTIMONY WHEREOF, WE have hereunto set our hands:

County of: <u>Mercer</u>	First Assignor: <u>Guy Pujol</u>
State of: <u>New Jersey</u>	
Subscribed and sworn to before me this <u>14</u> day of <u>October</u> , 2004.	
<u>Roberta Gorczyca</u> Notary Public	First Assignor's Signature
Date: <u>10/14/2004</u>	
Names of additional inventors/assignors attached <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

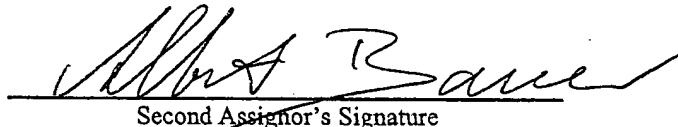
**ROBERTA GORCZYCA**  
**NOTARY PUBLIC OF NEW JERSEY**  
 Commission Expires 7/13/2008

County of: Mercer

SS

Second Assignor: Albert Bauer

State of: New Jersey  
 Subscribed and sworn to before  
 me this 12 day of  
October, 2004.



Second Assignor's Signature

Date: 10/12/2004

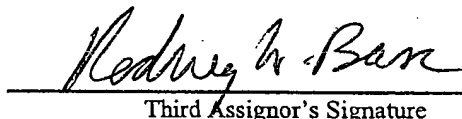
*Roberta Gorczyca*  
 Notary Public  
**ROBERTA GORCZYCA**  
 NOTARY PUBLIC OF NEW JERSEY  
 Commission Expires 7/13/2008

County of: Mercer

SS

Third Assignor: Rodney Bass

State of: New Jersey  
 Subscribed and sworn to before  
 me this 12 day of



Third Assignor's Signature

Date: 10/12/2004

*Roberta Gorczyca*  
 Notary Public  
**ROBERTA GORCZYCA**  
 NOTARY PUBLIC OF NEW JERSEY  
 Commission Expires 7/13/2008

County of: Mercer

SS

Fourth Assignor: Carl Dashfield

State of: New Jersey  
 Subscribed and sworn to before  
 me this 19 day of



Fourth Assignor's Signature

Date: 10/19/2004

*Roberta Gorczyca*  
 Notary Public  
**ROBERTA GORCZYCA**  
 NOTARY PUBLIC OF NEW JERSEY  
 Commission Expires 7/13/2008

County of: Mercer

SS

Fifth Assignor: Shashidhar Gurralla

State of: New Jersey  
 Subscribed and sworn to before  
 me this 25 day of



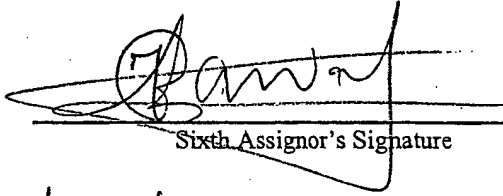
Fifth Assignor's Signature

Date: 10/25/2004

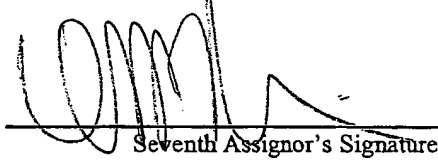
*Roberta Gorczyca*  
 Notary Public  
**ROBERTA GORCZYCA**  
 NOTARY PUBLIC OF NEW JERSEY  
 Commission Expires 7/13/2008

County of: MercerSixth Assignor: Gafar Lawal

SS

State of: New Jersey  
Subscribed and sworn to before  
me this 20 day ofOctober, 2004.ROBERTA GORCZYCA  
Notary Public of New Jersey  
Commission Expires 7/13/2008  
Sixth Assignor's SignatureDate: 10/20/2004County of: MercerSeventh Assignor: Wissam D. Mazboudi

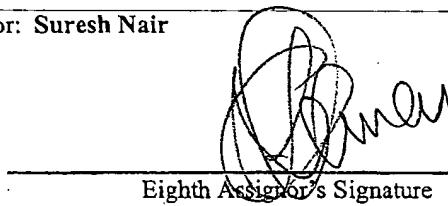
SS

State of: New Jersey  
Subscribed and sworn to before  
me this 20 day ofOctober, 2004.ROBERTA GORCZYCA  
Notary Public of New Jersey  
Commission Expires 7/13/2008  
Seventh Assignor's SignatureDate: 10/20/2004County of: MercerEighth Assignor: Suresh Nair

SS

State of: New Jersey  
Subscribed and sworn to before  
me this 12 day ofOctober, 2004.

Notary Public

ROBERTA GORCZYCA  
Notary Public of New Jersey  
Commission Expires 7/13/2008  
Eighth Assignor's SignatureDate: 10/12/2004